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FOREWORD

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Regulation HR ☐ established a program designed to administer the creation, maintenance and disposition of Agency records. This Handbook supplements that regulation and pertains to the records disposition phase of the program. Part I covers preparation of records control schedules and Part II outlines procedures for the retirement of records.

The objective of records disposition is the preservation of records of continuing value and the systematic elimination of all other records. Such action materially increases the usefulness of the records preserved, and substantially reduces the cost and effort of record keeping. To assist in achieving this objective, uniform methods and procedures have been established and published herein for the information, and guidance of all personnel concerned in the execution of responsibilities in the program.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

L. K. WHITE
Deputy Director
(Support)

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Part I. Records Control Schedules

SECTION I. GENERAL

1. General Plan. The Records disposition program provides for establishment of a uniform plan for the preservation, retirement, transfer, and destruction of records. The formulation of this plan for the disposition of each type or series of records will be expressed in the form of a Records Control Schedule and will provide for:

a. The selective preservation of permanently valuable records reduced to the minimum consistent with all interests of the Agency.

b. The expeditious and systematic removal and disposal of temporarily valuable records, including their reduction to the minimum consistent with the administrative and operating needs of the offices of the Agency.

2. Records Control Schedules. The preparation of Records Control Schedules is a requirement of the General Services Administration Regulations which are issued under authority of the Federal Records Act of 1950. (See Exhibit I). Their preparation and application are an approved means of systematically effecting the preservation, retirement, and destruction of records. Form No. 139, Records Control Schedule, (See Exhibit 2) has been developed for use in this Agency and provides the means for implementing the Agency disposition program.

3. General Disposition Policies. The following policies will govern the disposition of records created and acquired by Agency activities and will be carried out in full accordance with Security Regulations of the Agency and the opinion of General Counsel, Oct. 2, 1950 (See Exhibit 1, Paragraph 2 g.).

a. Preservation. Records created or acquired by any activity which are worthy of preservation as a part of the permanent archives of the Agency will be identified and retained as prescribed by this Handbook.

b. Retirement. Records created or acquired by any activity incident to the conduct of its business will be retired to the Agency Records Center in accordance with the procedures outlined in Part II, Retirement of Records.

c. Transfer, when records created or acquired any activity are transferred to another Agency component appropriate changes shall be made on the Records Control Schedules (See Section VII) maintained in both the transferring and gaining organizational elements. The transfer of records from the custody of this Agency to that of another executive agency will be accomplished in accordance with the provision of Title 3, Section 301,

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of the Regulations of the General Services Administration. That regulation provides that such transfers shall be accomplished only with the prior written approval of the National Archives and Records Service. The Agency Records Administration Officer will obtain this approval.

d. Disposal. Records created or acquired by any activity incident to the conduct of its business will be destroyed in accordance with the procedures outlined by this Handbook.

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SECTION II. DUTIES AND RESPONSIBILITIES

4. Program Objectives. The objectives of records disposition are as follows:

a. The establishment and preservation, on a continuing basis, of a complete set of records reflecting the mission of the Agency, its organization, functional administrative policies and procedures, and overall accomplishments, including therein all documentary materials having administrative, legal, fiscal, or historical significance, of long time or permanent value.

b. The establishment and operation of a system of supervision, facilities, procedures, and instructions which will assure the prompt disposition of records no longer frequently referred to or of no further value in the conduct of current business by retirement to the Agency/Records Center or by authorized destruction.

c. The development of means for making available to authorized Agency activities the experience and data that Agency records contain for planning purposes, for conducting current business, and for historical or research purposes.

5. Program Direction. Standardization of methods and procedures is necessary and desirable for the effective management of records. Agency records that have permanent or longtime administrative, legal, fiscal, or historical value are safely stored in the Records Center for preservation when no longer needed for the conduct of current business or upon deactivation of an activity. In order to facilitate the processing, storage, and servicing of the records received by the Records Center from various activities, they should be uniformly arranged, packed, and processed in accordance with prescribed criteria. Furthermore, it is important that authorization for the disposal of records, granted by the Archivist of the United States and Congress, be uniformly and accurately interpreted. To effect the coordination required to attain these objectives, responsibility for administration of the program is delegated to the Agency Records Administration Officer.

6. Program Administration. The Agency Records Administration Officer is responsible for:

a. Staff guidance, assistance and coordination of the Records Administration Program, including the issuance of any instructions necessary to implement the methods and procedures prescribed by this Handbook, and the attainment of the objectives of the Program.

b. Review and approval of Records Control Schedules governing the disposition of records accumulated by the organizational elements of the Agency.

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c. Review and approval of all recommendations for the destruction of records, and the subsequent preparation and submission of requests to the Archivist of the United States and Congress for authority to destroy the records as prescribed by applicable statutes.

d. Indoctrination and training of component Records Management Officers designated by the Deputy Directors in accordance with

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e. Monitoring and inspection of all records disposition activities of the Agency.

f. Establishment and maintenance of a facility for the storage and servicing of noncurrent records of the Agency.

g. Collection and consolidation of statistical and factual data necessary to effective management of the Agency program.

7. Program Implementation. The role of the component Records Management Officer is a most significant one in attaining program objectives. The detailed explanations of methods and procedures described in this Handbook will supply information necessary to enable him to understand and carry out his responsibilities. Component Records Management Officers are specifically responsible for:

a. Supervision over the proper disposition of all records created, acquired, or maintained by organizational elements under his jurisdiction.

b. Conducting records disposition surveys for purposes of collecting and recording information necessary for the preparation of Records Control Schedules and implementing other aspects of the program.

c. Preparation of Records Control Schedules for activities under his jurisdiction and submission of such schedules to the Agency Records Administration Officer for review and approval.

d. Keeping the schedule up to date by making any necessary revisions and submitting such revisions to the Agency Records Administration Officer for approval.

e. Submission of recommendations to the Agency Records Administration Officer for the procurement of authority for the destruction of records not covered by existing Records Control Schedules.

f. Application of approved Records Control Schedules, including the segregation and prompt destruction of records authorized for disposal, or their retirement to the Records Center when their scheduled retention in office space has expired.

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g. Supervision of the arrangement and packing of the various classes of records and their retirement to the Records Center for storage in accordance with Part II of this Handbook.

h. Compilation of data for reports required for effective management of the program.

8. Records Disposition Report. To provide a measure of the progress and effectiveness of the program, component records officers will submit a report not later than the fifteenth of August of each year to the Agency Records Administration Officer. This report, in memorandum form, will consist of consolidated statistics, on the retirement and destruction of records accumulated by the organizational element over which he has jurisdiction. All paper and photographic records, and sound recordings, including papers identified in paragraph 27, will be reported. Quantities of records will be expressed in terms of cubic feet on the basis of the measurement and conversion formula prescribed in Exhibit 3. The following data will be reported:

- (1) Records on hand at the beginning of _____ cubic feet
the fiscal year.
- (2) Records destroyed in current-files _____ cubic feet
area during the fiscal year.
- (3) Records on hand at the end of the _____ cubic feet
fiscal year.

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SECTION III. TERMINOLOGY

9. General. Records Administration is a field of management of relatively recent development. The terms that have been either "coined" or "applied" in this field, while gradually being accepted by common usage, are not yet standard in their meaning and application. To avoid misunderstanding, definitions of terms used in the text are provided.

10. Records.

a. Statutory Definition. The word "records" is defined by statute as including: "All books, papers, maps, photographs, or other documentary material, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law in connection with the transaction of public business and preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein." The statute specifically excludes from the definition of the work "records" library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents.

b. Interpretation and Application of Definition. The statutory definition of records does not answer all the specific problems that arise in the process of identifying documentary materials as records, or in determining the disposition of a particular group of records. In approaching these problems it is best to assume the materials are records until proven otherwise. The Agency Records Administration Officer should be consulted in resolving such questions.

c. Source of Documentary Materials. The definition of records specifically includes those documentary materials both made and received by an agency. Documentary materials acquired by this Agency from any source incident to its activities that become possessions of the Agency are subject to the disposition policy and procedure prescribed by the statute.

d. Status of Documentary Material. The language "preserved or appropriate for preservation" indicates that the intention regarding whether a document serve or not serve as a "record" is an important element in determining that particular documentary materials are "records" within the meaning of the definition. This language also covers instances where, although the intention that the materials not serve as "records" is clear, the nature of the data the materials contain may make them "appropriate for preservation" and subject to the provisions of the statute.

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e. Character of Documentary Materials. The definition exemplifies the character or nature of the materials by specifying those materials that contain evidence of the organization, functions, policies, procedures, operations, or other activities. These materials may be of either temporary or permanent value. It is significant that, by interpretation, nearly every conceivable type of documentary material can be brought within the meaning of this language.

11. Disposition. The term "disposition" as used herein includes any and all means of affecting a change in the custody or the existence of records; i.e., the preservation, retirement, transfer, and disposal (destruction) of records.

a. Preservation. The safeguarding of selected records, for permanent retention, necessary to document the organization, functions, policies, decisions, and procedures of the Agency.

b. Retirement. Although several connotations have been given to the "retirement" of records, the term as employed by this Handbook will mean the removal of records from office space to the Records Center.

c. Transfer. The transfer, or change of custody of records, from one organizational unit or agency to another is another medium contemplated by the term "disposition" as used in this Handbook.

d. Disposal. Term "disposal" as used herein is distinguished from the general term "disposition" by the fact that disposal pertains only to the destruction of records.

12. Current and Noncurrent Records. The records with which the Records Management Program is concerned fall into two classes: "current" and "noncurrent." For the purpose of clarity and to prevent any misunderstanding the terms "current" and "noncurrent" are used interchangeably with "active" and "inactive" records. "Current records" are frequently referred to by the activity that accumulates them into the conduct of current business and their retention in the office is necessary for the functioning of the activity. "Noncurrent records" are those records which are no longer frequently referred to by the activity that accumulates them.

13. Other Terminology

a. Records Management Officer. An individual who is designated and assigned the responsibility for administering a records management program for a specific organizational element.

b. Current Files Area. File space, normally office space, utilized by the office or administrative unit which creates and acquires records.

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c. **Cut-off Technique.** The systematic means for periodically terminating a file series to provide for its retirement and/or destruction. Also referred to as "Breaking" files.

d. **Disposal Standard.** The retention period established and approved in accordance with statutory requirements governing the destruction of records.

e. **Evaluation.** The process of determining the administrative, fiscal, legal, or historical value of records.

f. **Records Center.** The facility established for the receipt, maintenance, servicing, and disposition of the noncurrent records of the Agency.

g. **Records Control Schedule.** A written plan (See Section VI) for the disposition of records. It includes the following information:

(1) An identification of the series of records of each function or organizational unit that should be preserved and a plan for their retirement.

(2) An identification of the series of records of each function or organizational unit that are disposable and a plan for their periodic disposal or retirement prior to disposal.

h. **Records Series (File Series).** A group of closely related records identified with a specific function and maintained in accordance with a single system of arrangement.

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SECTION IV. DISPOSITION SURVEY

14. Objective. A records disposition survey is conducted for the primary purpose of collecting and recording factual information on each series of records. Sufficient and accurate data must be obtained on each records series for its proper evaluation and appraisal in terms of administrative, legal, fiscal, and historical value. The factual information obtained on each series and its evaluation stated in time elements, for its cut-off, retirement, and/or destruction, are essential for the preparation of Records Control Schedules.

15. Method of Collecting Data. The preferred method of collecting data for the disposition survey is for the component Records Management Officer to take an inventory of all files maintained by his organization. Detailed procedures for taking such an inventory are listed in paragraph 17.

16. Coverage. For the initial preparation of Records Control Schedules and for the annual review of schedules thereafter, a comprehensive survey must be made of records maintained in all organizational elements. This survey will cover all file series including both record and nonrecord materials. In addition, all space in filing equipment utilized for purposes other than for the housing of records will be recorded. This includes file space reserved for expansion, overnight storage, and equipment storage, and for housing other materials not included on the Records Control Schedule (see paragraph 26). This additional information, though not included in the schedule is useful for detecting and controlling filing equipment utilization practices.

17. Preparation. - Before beginning the survey there are three requirements necessary for an intelligent and practical approach to the problem: namely, proper authorization, background data, and assistance.

a. Proper Authorization. Authority for the survey should be obtained by the Records Management Officer from the Chief of the component concerned.

b. Background Data. Secure and study organizational charts, reports, regulations, administrative orders, directives, and controls regarding the activities, functions, and procedures of the organizational element.

c. Assistance. Secure the names of individuals to be consulted in each organizational unit. These individuals should be at such an organizational level that they can speak authoritatively on the administrative value of or need for the records.

18. Conducting the Survey. Form No. 138, Records Survey Work Sheet, (See Exhibit 4) is the recommended form for recording the information collected during a records survey. Copies of these forms may be obtained

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from the Agency Records Administration Officer. In order to prepare comprehensive Records Control Schedules and to properly analyze and evaluate the results obtained it is essential that a Work Sheet be prepared for each records series as outlined below:

- a. Date. Enter the ~~current~~ date of the survey.
- b. Office, Division, Branch, and Section. Enter the organizational elements down to the unit maintaining the files.
- c. Location. Enter building name or number and room number.
- d. Name of File. The title selected for the file series should be descriptive, self-explanatory, and consistent with the terminology of the office using and maintaining the file. If applicable, it is best to assign the title by which the using office identifies the file series. In other words, the title selected should not be foreign to the user of the file. See paragraph 27 which gives instructions for general categories of files with regard to standard titles prescribed. In addition, subject files will be identified by title in the following manner: "Office Subject File", "Division Subject File", or "Branch Subject File", whichever is applicable. Uniformity in use of names of files is desirable when the same type of file is maintained in two comparable organizational elements. For example: A file designated by title as "Mail Control File" in one division should be similarly named when found in a comparable organizational element.
- e. Custodian. Enter name of the custodian or the person who is responsible for the files. Also enter the telephone extension so that problems arising later may be settled by telephone.
- f. Description. This is the most important factor involved in conducting a records disposition survey. The Records Management Officer should obtain answers to questions such as these: What is the purpose or use of the record? Where does it originate and to what offices is it distributed? Which is the official file copy? How is the record filed? What is its relationship to other records? Such questions are obviously necessary for a competent appraisal of the records. The importance of accuracy and completeness in this detail cannot be overemphasized if proper values are to be assigned to records. Therefore, each record series will contain a description including, but not limited to the following:

(1) Description of Documents. To eliminate any doubt as to the identification of the file a representative cross-section sampling of the types of documents making up a file series should be recorded. Note form numbers and titles and the presence of any correspondence, memoranda, cables, dispatches, reports, etc.

(2) Function of the File. Give a brief statement of the specific operation or process that creates the file. This statement should reflect the use of the file and the purpose the file serves.

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(3) Frequency of Use. The activity of a file or the approximate number of references made to a file for a specific period is a determining factor for the establishment of cut-off dates and disposition procedures after cut-off.

(4) Extra copies Existing. If there are copies of these documents maintained at another file location record that information here. Such entries might be: "Extra copies filed in Branch Subject File", "Extra copies filed in Reading File", etc. If, for instance, the file series being surveyed were the extra copies, with the official or record copy maintained elsewhere, a proper notation might be: Record copies filed in Office Subject File", etc.

g. Arrangement. Indicate the filing arrangement of the record series. This should be recorded in brief statements such as: "Alphabetically by Surname", "Alphabetically by Subject", "Numerically by Requisition Number", etc.

h. Inclusive Dates. Enter the date (year only) of the oldest document in the series and the date (year only) of the most recent documents. If the file arrangement is such that this information is not readily apparent, a brief sampling of the material should reveal the most characteristic date coverage.

i. Size of Records. Check in appropriate squares the size of the records and enter the cubic feet of records in the box provided. Cubic footage should be computed in accordance with the table of standard measurements in Exhibit No. 3.

j. Equipment Occupied by Records. Check in the appropriate square the type of filing equipment housing the records and enter the number of drawers, trays, shelves, etc., utilized. This information along with that above can be useful in controlling effective utilization of filing equipment.

k. Remarks. Show here the disposition action recommended. An official of the organizational unit responsible for the file should be consulted. The official should be one who has knowledge of the value of the file from an operating viewpoint and should be in a position of authority to determine retention periods based on the operating and administrative needs of the office. Since a records disposition survey is conducted primarily for the purpose of preparing a Records Control Schedule, information recorded here will consist of a cut-off procedure, retention time in office space after cut-off, and the overall retention period (disposal standard) for the record series. The retention period, at this point of the survey, is based only on the administrative or operational value placed on the file by the users. This is a preliminary step in the overall evaluation process required in the appraisal of records. Final evaluation should be based on disposition criteria discussed in Section V. This space and the back of

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the sheet are also useful for recording ideas, conversations, comments, or other information pertaining to the records series not included elsewhere on the work sheet. Such bits of information often aid materially in the evaluation process or in spotting or solving a record problem.

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SECTION V. DISPOSITION CRITERIA

19. General. The analytical process ^{evaluation} ~~applying proper values to~~ records in terms of time standards for their retention, of applying cut-off techniques for periodic termination of files, and of applying block disposition procedures to noncurrent files can be accomplished only by a thorough study of each record series surveyed and the careful application of criteria outlined in this section.

20. Evaluation of Records. The evaluation of records in terms of their possible use by the Agency and the Federal Government is an essential preliminary to instituting procedures for their disposition. While the volume of records of permanent value created in any given year is negligible when compared to the total annual accumulation, it is imperative that this nucleus of records of enduring value be identified and preserved. Once these records are identified the residue is of temporary value which will be destroyed now or later, contingent upon when this value diminishes or disappears. In establishing realistic retention periods it is essential that the records management officer identify the "office of record" for the files he is evaluating. Any organizational element that creates or receives records in the process of carrying out its assigned functions and responsibilities normally becomes the office of record for documenting such activities. Offices of record range from the immediate offices of the Director and his Deputies down through those of heads of Offices and Chiefs of Staffs, Divisions and Branches. For example, the office of record for preparation of the Agency budget is the Office of the Comptroller. Here, the files documenting this function are retained permanently. Other Agency components evaluate their budget files as temporary and may dispose of them within a few years. In some instances, records of temporary value may be required to be retained for periods of time exceeding the period during which they are used for the conduct of current business because of administrative or legal reasons. ~~These records should be retired to the Records Center for the necessary retention period and ultimate destruction.~~

21. Permanent Records. Permanent records are those records which have enduring value in one or more of the following categories: administrative, legal, fiscal, or historical. The Archivist of the United States has described records worthy of permanent preservation as those reflecting: (1) "The organization and administrative history of the agency; (2) the policies it followed and the reasons for their adoption; (3) its working methods and results; (4) its specific individual transactions so far as they established a legal status of any kind or as they may be presumed to have a general and continuing interest; (5) the general social, economic, or other conditions with which the agency dealt." The maxim "Experience is the best teacher" is a brief but adequate justification and explanation of the basis and necessity for the identification of records of the following types:

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- a. **Administrative Value.** The recording of experience in the broad and complex field of administrative management, and of equal importance, the preservation and availability for use of past experiences of trial, error, or success, will frequently provide the means for more sound solutions of current problems. Records worthy of preservation for this purpose are directly dependent upon the degree to which authority is delegated to lower echelons. Broad discretion in policy and procedural matters frequently is delegated to lower echelon activities which makes it necessary to closely examine the functions and responsibilities of an activity, particularly specialized types, to determine the value of its correspondence files, directives files, operations records, and reports files.
- b. **Legal Value.** The evaluation of records from the standpoint of their actual or potential legal value is of extreme importance. Reduced to simple terms, it is the process of determining whether a record, a group of records, or the data they contain, establishes a "legal status", i.e., whether the records affect the rights or obligations of the United States Government, of military and civilian personnel of the Agency, or of private individuals or corporations that transact business with the United States Government. Among records having legal value are those furnishing the basis for action, such as legal decisions and opinions; financial and other documents representing legal agreements, such as leases, titles, and contracts; and records of action in particular cases, such as claims papers and legal dockets. The importance of identifying such records for the purpose of assuring their permanent or long time preservation cannot be overemphasized. Opinion of General Counsel should always be requested in questionable cases.
- c. **Fiscal Value.** Records of fiscal value worthy of preservation are those which reflect the development, preparation, submission, justification, and adjustment of Agency budgets, and other selected groups of records which account for the expenditure of funds. Standards established for the retention of records of the General Accounting Office, necessary to account for the expenditure of funds, will provide the guide for retention of similar Agency records. The Agency's unique audit requirements will be one of the determining factors in the application of these standards.
- d. **Historical Value.** Some of the classes of records described in a, b, and c above, will prove to have historical research value. The statement of the Archivist of the United States, paragraph 21, is equally descriptive of records worthy of preservation for historical research, documents which are in themselves "historical accounts" should be considered for preservation. These documents include diaries, journals, and official histories.

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22. Cut-off Technique. To facilitate the disposition of files on an orderly and systematic basis, the termination of file series at regular intervals and the establishment of new files are necessary. This procedure is known as the cut-off technique or file break and permits the destruction, retirement, or transfer of files in complete chronological blocks saving many hours in screening and servicing records. In applying cut-off techniques one should be aware that records are created primarily for use and not for disposition and any conflict in cut-off procedure should give way to the operating needs. In a word, fit the cut-off procedure to the operating requirements. One of the following cut-off procedures is applicable to any file of the Agency.

a. Calendar Year Cut-off. Many file series in the Agency will require a cut-off on a calendar-year basis. The procedure is to terminate files at the end of each calendar year and to establish a new file at the beginning of the following year.

b. Fiscal-Year Cut-Off. Fiscal and accounting series of files fit into the fiscal-year cut-off procedure. The procedure is to terminate files at the end of each fiscal year and to establish a new file at the beginning of the following fiscal year.

c. Case File Cut-off. Certain categories of files, normally referred to as case files, such as individual personnel folders, project files, contract files, and similar types must be maintained in a current status until the passing of an event. The cut-off procedure is to place the case in a noncurrent file after separation of employee, completion of project, final payment of contract, or similar event. The noncurrent file is then *disposed* terminated periodically, the ~~disposition~~ is effected, and a new noncurrent file established.

d. Other Cut-off Periods. Files may, for various reasons, require cut-off periods of a lesser time than prescribed in paragraph a. and b. above. To apply a 1-month, 2-month, or 6-month cut-off procedure at least one of the following factors should be present:

- (1) The filing arrangement is easily adapted to cut-off.
- (2) The file series has relatively short retention value.
- (3) File space is limited and the file series increases rapidly in volume.
- (4) Very little reference is made to files after cut-off.

23. Block Disposition. An effective disposition program requires block retirement and destruction of records. To accomplish this objective, it is necessary to have uniform retention periods for records in ~~off~~ files *current* areas after cut-off. Generally, files that will be retained one year or

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less after cut-off should be held in the current files area until destruction is effected. Cut-off records with longer retention periods will normally be retired to the Records Center after being held one year. Availability of storage space in the current files area and frequency of reference must be considered when scheduling such records.

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SECTION VI. RECORDS CONTROL SCHEDULES

24. General. Records Control Schedules are the means for implementing the records disposition program. Schedules are prepared from Survey Work Sheets after careful analysis of each record series inventoried. They constitute the nucleus and foundation for the effective administration of both the current and noncurrent records of an activity. The schedule, although used primarily for the purpose of effecting the prompt and systematic retirement or destruction of noncurrent records, also functions as a "finding medium" and an "account" of the location, custody, and disposition of both the current and noncurrent records of an activity. Effective scheduling of records for disposition influences the maintenance of current files by necessitating various procedures for their segregation, arrangement, cut-off, centralization, or decentralization, etc. Experience in the use of Records Control Schedules has firmly established the need for systematizing their application. The policies and procedures assigned to obtain the objectives sought in well administered records soon become inoperative unless steps are taken to: (a) systematically remind the activity having custody of records, of the expiration date of schedules retention periods; (b) record the disposal of each series of records when such is accomplished; (c) control and record any change in the location of each series of records; and (d) periodically review the schedule for accuracy and completeness.

25. Preparation of Schedules. The preparation and maintenance, on a current basis, of Records Control Schedules for the records of the Agency is a requirement of the regulations issued under authority of the Federal Records Act of 1950. The responsibility for the preparation of Schedules is incumbent upon the component Records Management Officer. At least four copies of the Schedules will be prepared and will cover all files, record and nonrecord, maintained. The use of Form No. 139, Records Control Schedule, and Form No. 139a, Continuation Sheet, are recommended (see Exhibit I). These forms may be obtained from the Agency Records Administration Officer and will be prepared as follows:

a. Identification of Schedule. Enter in the space captioned "Office, Division, Branch" the specific organizational element which the schedule pertains, such as, General Services Office, Special Services Division, Machine Records Branch. Each organizational element down to the Branch level will begin on Form No. 139 using a continuation sheet Form No. 139a for additional pages as required. In general the physical separation of files of an Office should be the determining factor in deciding whether schedules should be identified with units below the Branch level.

b. Schedule No. A number will be assigned by the Agency Records Administration Officer upon approval of the Schedule.

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c. Concurrence. Enter in this space the signature of the Chief of the organizational element (Branch, Staff, or Division Chief) to which the schedule pertains. The signature of the Office Chief will be entered on the first page of the schedule for his immediate office which will indicate his approval of the entire schedule. This signature should be obtained after chiefs of all other organizational elements of the Office have signed.

d. Item number. Beginning with item number one, list and number each series, starting with the records of the Office Chief and continue consecutively through each organizational unit of the office. The use of subitem numbers is permissible when subordinate file series are component parts of an overall file (see Exhibit 2).

e. Files Identification. The precise description of each series of records will be entered in this column. This descriptive data requires the utmost care in its preparation. In general, this data must be sufficient to accurately identify the records and enable a determination of propriety of the disposition prescribed for them. Specifically, each file identification will consist of five elements, namely: The title or name of the file; description of documents of which the file consists; a brief statement of the specific function or operation incident to which the files are maintained; a statement concerning the filing arrangement; and inclusive dates of the file. See paragraph 27 for instructions for general categories of files.

(1) Title of Records Series. Groups of records maintained to serve a specific purpose usually are identified by a name or designation which invariably coincides with the function the groups of records perform. The title should be descriptive, self-explanatory, and consistent with the terminology of the organizational element using and maintaining the file.

(2) A listing of several representative documents found in the file, such as, form numbers and titles, titles of reports, office memoranda and correspondence, assists in identification. Such identification is essential because these same records may be maintained in another file which serves a different function and may be disposed of after a lesser retention period.

(3) Function of File. The administrative or technical operation incident to which the record series is accumulated and the function the record series performs in connection therewith is also essential to the identity of the records. In other words, this statement should answer: What operation or function created this record and for what purpose is this file used? An example of the function of a file accumulated in every organizational element of the Agency in connection with security regulations requiring receipts for classified documents might logically

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be stated, "These documents reflect the receipt and transmission of classified documents and are maintained as a control for security purposes."

(4) Filing Arrangement. An adequate statement of the filing arrangement will be entered next in the files identification column. Examples of such statements are as follows: "Alphabetically by Surname"; "Alphabetically by Subject"; "Numerically by Requisition Number"; "Chronologically"; etc. This information, in addition to being useful in the analysis of a file, is invaluable in detecting the adequacy of the filing system and cut-off and retirement procedure.

(5) Inclusive Dates. Enter the date (year only) of the oldest document in the series and the date (year only) of the most recent document. The effective application of the schedule can then be measured by a comparison of the cut-off and disposition procedure with the inclusive dates of the file.

g. Volume. Enter the volume in terms of cubic feet for each file series. Fractions of cubic feet will be expressed in tenths by use of the decimal point, e.g., 1.5, 20.3, etc. The volume for a file series, measuring one-tenth foot or less will be entered as .1. Files which have been retired to the Records Center will not be included in the volume reported on a Records Control Schedule.

h. Disposition Instructions. Entries in this column will be made only after careful appraisal and evaluation of the records series (see Section V). The column will consist of three elements and will be entered in the order given below:

(1) Preface each instruction with the word "Permanent" or "Temporary" which ever is applicable.

(2) The second element consists of the phrase "Disposal not authorized" if the records are of permanent value. Records of temporary value will cite a disposal standard, e.g., "Destroy after three years," "Destroy two years after audit," "Destroy upon separation of employee," etc.

(3) By application of cut-off procedures as prescribed in paragraph 22, give complete instructions for the cut-off and retirement and/or destruction of the files. These instructions may be indicated as "Cut-off at end of each calendar year; destroy 1 year thereafter," "Cut-off at end of each calendar year; hold 1 year then transfer to Records Center." "Place in noncurrent file upon liquidation of obligation; hold 1 year then transfer to Records Center."

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26. Material Excluded from Schedule. Certain types of material, because of the purpose or use they serve, will not be reported on a Records Control Schedule. Some examples are: stocks of blank forms and reproduction materials such as stencils and hectograph masters. Any questions concerning such materials should be referred to the Agency Records Administration Officer.

27. Instructions for General Categories of Files. The following instructions will govern the entry of information on schedules relating to the title and disposition instructions of the files listed below:

a. Extra copies of Agency publications, publications of other Government agencies, commercial publications, and similar publications which are collected and maintained in a separate filing system for reference purposes are considered as nonrecord material. Examples of such publications are copies of Agency Regulations, Agency Handbooks, Intelligence Reports, Army Regulations, Civil Service Regulations, trade journals, magazines, etc. On Records Control Schedules, these materials will be identified by title as "Reference Publications File." The disposition instructions will read "Temporary. Destroy when superseded or obsolete or no longer needed for reference purposes."

b. Library material such as law books, medical books, and other types of books used for reference purposes but which have continuing value, both monetary and for reference purposes, will not be destroyed. On Records Control Schedules these books will be identified by title as "Library Material." The disposition instructions will read "Return to Library when no longer needed for reference purposes."

c. Extra copies of papers preserved only for convenience of reference are of a nonrecord character. Examples of such papers are those maintained in a reading or chronological file. On Records Control Schedules, these papers will be identified by title, such as "Convenience Files (Reading)," or "Chronological Files," and as an additional element of the Files Identification column, a statement will be made as to the location of the official record, e.g., "Record copies filed in Division Subject File," etc. The disposition instructions normally will provide for their destruction one year after cut-off period.

d. Extra copies of technical materials, such as motion pictures, sound recordings, still photographs, maps, etc. are of non-record character. On Records Control Schedules this material will be identified by title as Convenience Files followed by the type of technical material in parenthesis, e.g., "Convenience files (Sound Recordings)," "Convenience Files (Maps)," etc. The disposition instructions will read: "Temporary. Destroy or salvage when superseded or obsolete or no longer needed."

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28. Review and Approval of Schedules. When schedules have been completed, three copies (original and two carbons) will be submitted to the Agency Records Administration Officer for review and final approval.

a. This review is intended to ensure that:

(1) All recommended actions have the concurrence or certification of the appropriate operating officials.

(2) The retention periods are sufficient to meet the normal administrative, legal, and fiscal requirements of the Agency.

(3) Records recommended for disposal possess no interest to other elements of the Agency.

(4) Records of continuing value are appropriately identified and that instructions for their protection are adequate.

(5) Recommended disposals are covered by existing legal authorizations.

(6) The purposes for which schedules were prepared are being attained.

b. Records of temporary value for which Congressional disposal authority is required will be described by the Agency Records Administration Officer on Standard Form No. 115, "Request for Authority to Dispose of Records." After coordination with the Security Office, the Office of the General Counsel, and other offices as necessary, a representative of the Archivist of the United States, previously cleared by the Agency, will review the proposed disposals and make recommendations to the Archivist for submission to Congress. Depending upon the action taken by the Congress, adjustments, if any, will be made to the Records Control Schedule which may then be approved for application.

29. Distribution of Approved Schedules. After final approval of the schedule the Agency Records Administration Officer will retain one copy, return a copy to the appropriate component Records Management Officer, and forward one to the Records Center. The component Records Management Officer will furnish each organizational unit a copy of its schedule.

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SECTION VII. APPLYING RECORDS CONTROL SCHEDULES

30. Application of Approved Schedules. Since the ultimate goal in the scheduling of records is to establish a systematic plan for the retention, retirement, and destruction of records, it is essential that the schedules, after approval, be put into operation. Furnishing each organizational unit with a copy of its schedule and providing guidance in using the schedule are basic steps in implementing the records disposition program. However, to ensure continued application of schedules, the component Records Management Officer must develop follow up techniques such as the following:

a. Audit and Revision of Schedules. To be effective the schedule must be kept current. Records Management Officers should periodically audit and review schedules of organizational units to detect needed revisions. Revised items or schedules will be prepared on Form 139 or 139a as appropriate, and submitted for approval by the Agency Records Administration Officer (see paragraph 28). Additional categories of records will have to be added to the schedules as new functions develop or are reassigned to an organizational unit. Also certain records may be dropped from a schedule because of changes in functions and organizations.

(1) Additions to Schedules. Additional items may be added to schedules by the use of decimal points. A new item would be placed in its logical sequence by organizational element and the new item number would be assigned by adding a decimal point and item number. For example, the first new item falling between 11 and 12 would be assigned item number 11.1.

(2) Deletions from the schedules. Series of records which have been discontinued and have been removed from an office either through transfer, retirement, or destruction will be deleted from the schedule.

b. Tickler File. An effective and simple method for controlling the application of approved schedules involves the use of a "disposition tickler file." This file can be established by using a 5" x 8" card (Form 1183) to list each item appearing on a Records Control Schedule (see Exhibit 6). The cards are filed chronologically by action date and serve as a reminder to take specific actions at specified times. The establishment and continued use of this file is assurance that authorized actions are being accomplished at the prescribed time.

31. Related Schedule Controls. Although the Records Control Schedules are used primarily to effect the retirement or destruction of records, the proper scheduling of records also influences the maintenance of current files by necessitating various procedures for their segregation, filing arrangement, cut-off, centralization, or decentralization. The effective utilization of filing equipment and floor space will also be achieved by the timely and periodic disposition of records through the application of these schedules. Requests for filing equipment should be reviewed by the component

See also 27 and 28

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Records Management Officer to determine whether space and equipment needed can be provided by applying the schedule. This is a very effective instrument of control and often makes possible important economies.

32. Retirement of Records. Records scheduled for retirement to the Archives and Records Center will be transferred in accordance with instructions contained in Part II of this Handbook, where the functions and services of the Center are described in detail.

33. Destruction of Records. Certain records, because of their short retention value, are scheduled for destruction in the current files area. Such destruction shall be performed in accordance with any applicable Security Regulations. A record of destruction will be maintained showing the schedule item number, file description and volume. The Tickler File can be used for this purpose. In addition to serving as a log of destruction, this information can be readily compiled for inclusion in the annual report required in paragraph 8.

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LEGAL BACKGROUND OF RECORDS DISPOSITION

1. Legislative Background. The basic responsibilities involved in the administration of a records program by an agency of the Federal Government is imposed upon the head of the agency by laws enacted by Congress and Executive orders issued by the President of the United States. Although laws governing the disposition of records of the Federal Government have been enacted during many years past, it was not until the year 1934 that the National Archives was established. It was designated as the Agency and facility for the preservation of the records of the United States Government, that have enduring administrative, legal, fiscal, or historical value. Laws enacted at that time, and subsequent amendments, describe the materials which are considered to be of a "documentary character" and which are consequently designated "records." However, a relatively small percentage of the tremendous volume of documentary materials produced or acquired by Government agencies qualify as records of enduring value and with few exceptions, the kind and quantity of records that an agency will produce or acquire is not specified. The procedures for determining which records will be preserved and which will be destroyed are also prescribed by law to prevent the destruction of those records that have enduring value. In brief, the laws prohibit the destruction of Government records except when authorized by Congress upon the recommendation of the Archivist of the United States.

2. Current Legislation. The substance of the applicable statutes that form the legal basis for present-day records management programs in agencies of the Federal Government is as follows:

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a. The Act which established the National Archives, approved 19 June 1934 (Public Law 432, 73d Congress) (44 USC 300-300d), created the office of the Archivist of the United States and provides that all records belonging to the Government of the United States shall be under the charge and superintendence of the Archivist. Also created by this Act was the National Archives Council whose function was to define the classes of material to be transferred to the National Archives Building and establish regulations governing such transfer; and advise the Archivist with respect to regulations governing the disposition and use of the Archives and records transferred to his custody.

b. An Act to provide for the disposal of certain records of the United States Government, approved 7 July 1943, as amended 6 July 1945 (57 Stat. 380-383; 59 Stat. 434) provides a definition of the word "records" (see Paragraph 13). The Act also provides that the head of each agency of the United States Government shall submit to the Archivist;

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(1) Lists of any records in the custody of the agency that have been photographed or microphotographed and, as a consequence thereof, do not appear to have sufficient value to warrant their further preservation by the Government; (2) lists of any other records in the custody of the agency that are not needed by it in the transaction of its current business and that do not appear to have sufficient administrative, legal, fiscal, research, or other value to warrant their further preservation by the Government; and (3) schedules proposing the disposal, after the lapse of specified periods of time, of records of a specified form or character that either have accumulated in the custody of the agency or that may accumulate therein at any time after the submission of such schedules and that after the lapse of the periods specified have insufficient administrative, legal, fiscal, research, or other value to warrant their further preservation by the Government. The National Archives Council, under authority of this Act, established procedures for such submissions and established standards for the reproduction of records by photographic or microphotographic processes with a view to the disposal of the original records.

c. An Act which transferred the National Archives Establishment and function to the General Services Administration, approved 30 June 1949 (Public Law 152, 81st Congress), also authorized the Administrator of General Services to survey Government records to determine the efficiency of records management activities.

d. The Act which defined the responsibilities of the Administrator of General Services for the management of Government records, approved 5 September 1950 (Public Law 754, 81st Congress), authorized the Administrator to establish a Federal Records Council. The members of the Council include representatives of the legislative, judicial, and executive branches of the Government. The Administrator will advise and consult with the Council, at least once annually, with a view to obtaining its advice and assistance in carrying out an economical and efficient management of Federal records. This Act also provided that the head of each Federal agency shall: cause to be made and preserved, records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency; establish and maintain an active, continuing program for the economical and efficient management of the records of the agency; provide for storage, processing, and servicing of records that are appropriate therefore in a records center; and establish such safeguards against the removal or loss of records as he shall determine to be necessary and as may be required by regulations of the Administrator.

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e. Executive Order 10501, "Safeguarding Official Information in the Interests of the Defense of the United States," was issued 5 November 1953. This order requires that defense classified documentary records material made or received by a department or agency in connection with the transaction of public business and preserved as evidence of the organization, functions, policies, operations, decisions, procedures, or other activities or any department or agency of the Government, or because of the informational value of the data contained therein, be destroyed only in accordance with the act of 7 July 1943, as amended 6 July 1945 (57 Stat. 380-383; 59 Stat. 1434).

f. Congress also enacted laws providing for the punishment of individuals who unlawfully destroy public records. These laws are quoted from Title 18, U.S.C., Section 2071.

"(a) Whoever willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or, with intent to do so takes and carries away any records proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined not more than \$2,000 or imprisoned not more than three years, or both.

"(b) Whoever, having the custody of any such record, proceeding, map, book, document, paper, or other thing, willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys the same, shall be fined not more than \$2,000 or imprisoned not more than three years, or both; and shall forfeit his office and be disqualified from holding any office under the United States."

g. To clarify the responsibilities of the Agency under provisions of statutes pertaining to Federal records, the General Counsel submitted an interpretation of existing laws on 2 October 1950. In the opinion of the General Counsel it was the intent of Congress that the Agency comply with the statutes whenever possible.

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3. Agency Application. The administrative basis for the Records Administration Program in the agency is contained in HB This regulation delegates responsibility for administration of the program to the Agency Records Administration Officer; defines the scope and content of the program, and assigns responsibility for its decentralized administration.

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Conversion Factors for Measuring Records Holdings in Cubic Feet

<u>Unit of Measurement</u>	<u>Cubic Foot Equivalent</u>
<u>Correspondence Files</u>	
One drawer, letter size cabinet or safe _____	1½
One drawer, legal size cabinet or safe _____	2
One open shelf-file unit, letter size _____	2½
One open shelf-file unit, legal size _____	3
<u>Card Files</u>	
One linear foot, 3x5 cards _____	1/10
One linear foot, 4x6 cards _____	1/6
One linear foot, 5x8 cards _____	1/4
or 10,000 tab cards _____	1
<u>Other</u>	
One bookcase section _____	2½
Map cabinets and other outsized equipment _____	Inside cubic measurement